

GETZ JAMES F
Form 4
February 20, 2018

FORM 4

**UNITED STATES SECURITIES AND EXCHANGE COMMISSION
Washington, D.C. 20549**

OMB APPROVAL

OMB Number: 3235-0287
Expires: January 31, 2015
Estimated average burden hours per response... 0.5

Check this box if no longer subject to Section 16. Form 4 or Form 5 obligations may continue. See Instruction 1(b).

STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP OF SECURITIES

Filed pursuant to Section 16(a) of the Securities Exchange Act of 1934, Section 17(a) of the Public Utility Holding Company Act of 1935 or Section 30(h) of the Investment Company Act of 1940

(Print or Type Responses)

1. Name and Address of Reporting Person *
GETZ JAMES F

(Last) (First) (Middle)

ONE OXFORD CENTRE, 301
GRANT STREET, SUITE 2700

(Street)

PITTSBURGH, PA 15219

(City) (State) (Zip)

2. Issuer Name and Ticker or Trading Symbol

TriState Capital Holdings, Inc. [TSC]

3. Date of Earliest Transaction (Month/Day/Year)

02/15/2018

4. If Amendment, Date Original Filed(Month/Day/Year)

5. Relationship of Reporting Person(s) to Issuer

(Check all applicable)

Director 10% Owner
 Officer (give title below) Other (specify below)

CHAIRMAN, PRESIDENT AND CEO

6. Individual or Joint/Group Filing(Check Applicable Line)

Form filed by One Reporting Person
 Form filed by More than One Reporting Person

Table I - Non-Derivative Securities Acquired, Disposed of, or Beneficially Owned

| 1. Title of Security (Instr. 3) | 2. Transaction Date (Month/Day/Year) | 2A. Deemed Execution Date, if any (Month/Day/Year) | 3. Transaction Code (Instr. 8) | 4. Securities Acquired (A) or Disposed of (D) (Instr. 3, 4 and 5) | 5. Amount of Securities Beneficially Owned Following Reported Transaction(s) (Instr. 3 and 4) | 6. Ownership Form: Direct (D) or Indirect (I) (Instr. 4) | 7. Nature of Indirect Beneficial Ownership (Instr. 4) |
|---------------------------------|--------------------------------------|--|--------------------------------|---|---|--|---|
| | | | Code | V | Amount or Price | | |
| Common Stock | 02/15/2018 | | M | | 5,000 A \$ 10.25 | 760,289 | D |
| Common Stock | 02/15/2018 | | S ⁽¹⁾ | | 5,000 D \$ 23.2 | 755,289 | D |
| Common Stock | 02/16/2018 | | M | | 5,000 A \$ 10.25 | 760,289 | D |
| Common Stock | 02/16/2018 | | S ⁽¹⁾ | | 5,000 D \$ 23.156 | 755,289 | D |
| Common Stock | | | | | | 287,173 | I |

By Getz Enterprises, L.P. ⁽²⁾

| | | | |
|--------------|---------|------------------|--|
| Common Stock | 160,618 | I | By Barclays Capital, Inc. FBO James F. Getz Individual Retirement Account ⁽³⁾ |
| Common Stock | 61,252 | D ⁽⁴⁾ | |

Reminder: Report on a separate line for each class of securities beneficially owned directly or indirectly.

Persons who respond to the collection of information contained in this form are not required to respond unless the form displays a currently valid OMB control number.

SEC 1474
(9-02)

Table II - Derivative Securities Acquired, Disposed of, or Beneficially Owned
(e.g., puts, calls, warrants, options, convertible securities)

| 1. Title of Derivative Security (Instr. 3) | 2. Conversion or Exercise Price of Derivative Security | 3. Transaction Date (Month/Day/Year) | 3A. Deemed Execution Date, if any (Month/Day/Year) | 4. Transaction Code (Instr. 8) | 5. Number of Derivative Securities Acquired (A) or Disposed of (D) (Instr. 3, 4, and 5) | 6. Date Exercisable and Expiration Date (Month/Day/Year) | 7. Title and Amount of Underlying Securities (Instr. 3 and 4) | Amount or Number of Shares | |
|--|--|--------------------------------------|--|--------------------------------|---|--|---|----------------------------|--------|
| | | | | Code | V (A) (D) | Date Exercisable | Expiration Date | Title | |
| Stock Options (Right to Buy) | \$ 10.25 | 02/15/2018 | | M ⁽¹⁾ | 5,000 | 06/30/2015 ⁽⁵⁾ | 12/31/2022 | Common Stock | 5,000 |
| Stock Options (Right to Buy) | \$ 10.25 | 02/16/2018 | | M ⁽¹⁾ | 5,000 | 06/30/2015 ⁽⁵⁾ | 12/31/2022 | Common Stock | 5,000 |
| Stock Options (Right to Buy) | \$ 11.66 | | | | | 07/02/2016 ⁽⁶⁾ | 01/02/2024 | Common Stock | 29,232 |
| Stock Options (Right to Buy) | \$ 10.31 | | | | | 07/16/2017 ⁽⁷⁾ | 01/16/2025 | Common Stock | 64,161 |

Reporting Owners

| Reporting Owner Name / Address | Relationships | | | |
|---|---------------|-----------|-----------------------------------|-------|
| | Director | 10% Owner | Officer | Other |
| GETZ JAMES F ONE OXFORD CENTRE 301 GRANT STREET, SUITE 2700 PITTSBURGH, PA 15219 | X | | CHAIRMAN, PRESIDENT AND CEO | |

Signatures

/s/ Keevican Weiss Bauerle & Hirsch LLC by David J. Hirsch,
Attorney-in-Fact

02/20/2018

__Signature of Reporting Person

Date

Explanation of Responses:

- * If the form is filed by more than one reporting person, *see* Instruction 4(b)(v).
 - ** Intentional misstatements or omissions of facts constitute Federal Criminal Violations. *See* 18 U.S.C. 1001 and 15 U.S.C. 78ff(a).
- (1) The options were exercised and the underlying securities were sold by Mr. Getz to fund his tax obligations with respect to the vesting in 2018 of restricted stock awards made to him under the Company's 2014 Omnibus Incentive Plan.
 - (2) The Reporting Person is the general partner of this entity.
 - (3) The Reporting Person is the beneficiary of this account.
 - (4) Shares held jointly by Mr. Getz and his wife.
 - (5) All of these options vested and became exercisable on 12/31/2017.
 - (6) 866 of these options vested and became exercisable on 7/2/2016, and the remainder will vest and become exercisable on 1/2/2019.
 - (7) 32,080 of these options vested and became exercisable on 7/16/2017, and the remainder will vest and become exercisable on 1/16/2020.

Note: File three copies of this Form, one of which must be manually signed. If space is insufficient, *see* Instruction 6 for procedure. Potential persons who are to respond to the collection of information contained in this form are not required to respond unless the form displays a currently valid OMB number.